

Board of Dental Scholarship Awards

Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
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Functional and Organizational Analysis of the Board of Dental Scholarship Awards

Sources of Information

Representatives of the Board of Dental Scholarship Awards
Code of Alabama 1975, Sections 16-47-70 through 16-47-81
Code of Alabama 1975, Sections 41-20-1 through 41-20-16 (Sunset Law)
Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)
Alabama Administrative Code 475-X-3 through 475-X-03-.04
Board of Dental Scholarship Awards Audit Report (1997-1999)
Alabama Government Manual (1998)

Historical Context

The Board of Dental Scholarship Awards was established in 1965. No agency existed that fulfilled this agency's duties prior to the creation of the board.

Agency Organization

The board consists of twelve members. Four of these members are ex-officio members including: secretary of the Alabama Dental Association, who serves as chairman; director of the Bureau of Dental Health of the Alabama Department of Public Health; dean of the University of Alabama in Birmingham, School of Dentistry, or his designee; and chairman of the University of Alabama in Birmingham, School of Dentistry Admissions Committee. Also on the board are eight dentists from each society of the Alabama Dental Association. Vice chairman and treasurer are elected by the board. Meetings are called by the chairman. The board contracts with the University of Alabama in Birmingham (UAB) to handle its business. A UAB employee serves as the executive director. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the board is to establish and award scholarships and loans to dental students. It is one of the agencies responsible for performing the Client Services function of Alabama government. In the performance of its mandated function, the agency may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** In accordance with the Administrative Procedures Act (Code of Alabama 1975, Section 41-22-3), the board has the authority to create rules and regulations for the awarding of scholarships and loans. The board also develops the appropriate procedures or techniques for the implementation of its rules and regulations. This subfunction encompasses activities pertaining to the establishment and promulgation of rules, regulations, and procedures by the board for carrying out its duties and responsibilities.

- **Screening & Awarding Scholarships and Loans.** Loans are available to students who are enrolled at the UAB School of Dentistry who are in good standing or members of the entering class. Applicants must also be residents of Alabama. Applicants file an official application form with the board. Parents or guardians file a Parent's Confidential Report with the board as well. Board members evaluate applicants by their needs and qualifications for financial aid. The recipient and the chairman of the board sign a legal contract stating the terms of the loan and method of repayment. Loans are renewable for a total of four years, providing that the recipient continues to make satisfactory progress towards his/her degree and financial need is verified. If a recipient decides not to complete his/her education or leaves the school prior to his/her graduation, s/he must immediately begin repayment of the loan.

All full-time students at the UAB School of Dentistry as well as members of the incoming freshmen class who are residents of Alabama, are eligible for merit scholarships. Merit scholarships are awarded primarily on the basis of the student's scholastic achievements, dental aptitude test scores, excellence of character, and other pertinent qualifications. Merit scholarships are renewed for a maximum of four years if the original recipient maintains an accumulative academic average in the upper twenty percent of his/her class. If a recipient chooses to not complete his/her education, the merit scholarship ends immediately.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative and financial activities performed to support the programmatic areas of the board.

Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, and documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accountings for the expenditure,

encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees

Analysis of Record Keeping System and Records Appraisal of the Board of Dental Scholarship Awards

Agency Record Keeping System

The Board of Dental Scholarship Awards currently operates a hybrid record keeping system composed of paper and electronic records.

Computer Systems: The Board of Dental Scholarship Awards operates a very basic computer system which is maintained by UAB

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Board of Dental Scholarship Awards: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met.

- **Academic Merit Scholarship Award Files.** These are records concerning academic scholarship awards to prospective and current students. Included are correspondence, applications, recommendations, grade listings, and approvals or disapprovals. These records are recommended to be retained for four years after the recipient has graduated or leaves the school.
- **Loan Award Files.** These files are created when a loan is awarded to a recipient. Included in this file are: the student's application, repayment documentation, and any supporting documentation as requested by the board. A loan recipient can repay in two ways. S/he can provide dental service to an area or repay with their own funds. If the recipient chooses to carry out service in lieu of payment, the board will assign them a service area. The loan recipient may request a specific area in which to provide service to but these areas must have the approval of the board as well as the Alabama Department of Public Health. The recommended retention for these files is three years after repayment has been completed.
- **College Work Study (CWS) Student Employment Files.** These files are created in order to keep track of a student's employment record. This information is then included in the Fiscal Operations Report for the board. The recommended retention for this record is five years after the submission of the Fiscal Operation Report.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations:

- **Meeting Minutes and Orders of the Board.** These records document decisions of the board. These records provide important information and documentation of the board's actions that may not be found elsewhere. (RDA page 3-2) (**Bibliographic Title: Meeting Minutes**)

Administering Internal Operations:

- **Informational Materials.** The board creates brochures with information about the scholarship and loans process. These are sent to people who are interested in applying for loans and are interested in merit scholarship opportunities. (RDA page 3-2) (**Bibliographic Title: State Publications**)

**Permanent Records List
Board of Dental Scholarship Awards**

Promulgating Rules and Regulations

1. Meeting Minutes and Orders of the Board

Administering Internal Operations

1. Informational Materials

Board of Dental Scholarship Awards Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Board of Dental Scholarship Awards. The RDA lists records created and maintained by the Board of Dental Scholarship Awards in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Board of Dental Scholarship Awards to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Board of Dental Scholarship Awards' records. Copies of superseded schedules/RDAs are no longer valid and may not be used for records disposition.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become

obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about agency social activities. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Board of Dental Scholarship Awards and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ Promulgating Rules and Regulations

MEETING MINUTES AND ORDERS OF THE BOARD

Disposition: PERMANENT RECORD.

■ Screening & Awarding Loans and Scholarships

Academic Merit Scholarship Award Files

Disposition: Temporary Record. Retain 4 years after the recipient has graduated or leaves the school.

Unawarded Merit Scholarship Award Files

Disposition: Temporary Record. Retain 3 years after the records were created.

Loan Award Files

Disposition: Temporary Record. Retain 3 years after the repayment has been completed.

Unawarded Loan Award Files

Disposition: Temporary Record. Retain 3 years after records were created.

■ Administering Internal Operations

Managing the Agency:

INFORMATIONAL MATERIALS

Disposition: PERMANENT RECORD

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

System documentation (hardware/software manuals and diskettes, warranties, Y2K Records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Managing Finances:

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property
Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Managing Human Resources:

College Work Study (CWS) Students Employment Record Files

Disposition: Temporary Record. Retain for 3 years after submission of the Fiscal Operations Report for that year.

Requirement and Recommendations for Implementing the Records Disposition Authority

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Board of Dental Scholarship Awards (hereafter referred to as the agency) as stipulated in this document. One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in April of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on

a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.

- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on April 18, 2003.

Edwin C. Bridges, Chairman
State Records Commission

Date

Receipt acknowledged:

Felita Nash, Executive Director
Board of Dental Scholarship Awards

Date